

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on September 22, 1997

Karen L. Shannon, Reg. No. 36,675
Name of applicant, assignee or Registered Representative

Karen Shannon
Signature

September 22, 1997
Date of Signature



ATTORNEY FILE NO. 8406/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF)
)
HOWARD B. GARBER)
)
SERIAL NO. 08/868,200)
)
FILED: June 3, 1997)
)
FOR: SYSTEM AND METHOD FOR)
TRADING HAVING A)
PRINCIPAL MARKET MAKER)

TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) Supplemental Information Disclosure Statement
- (X) PTO Form 1449 with two cited references; and
- (X) A return prepaid postcard.

(X) The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Account No. 23-1925. A duplicate copy of this letter is enclosed.

Respectfully submitted,

Date: 9.22.97

Karen Shannon
Karen L. Shannon, Ph.D.
Registration No. 36,675

Jonathan E. Retsky
Registration No. 34,415
Attorneys for Applicant

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200